

# FINANCIAL AND OPERATING STRUCTURE

## Department of Transportation DELPHI Program



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## Introduction

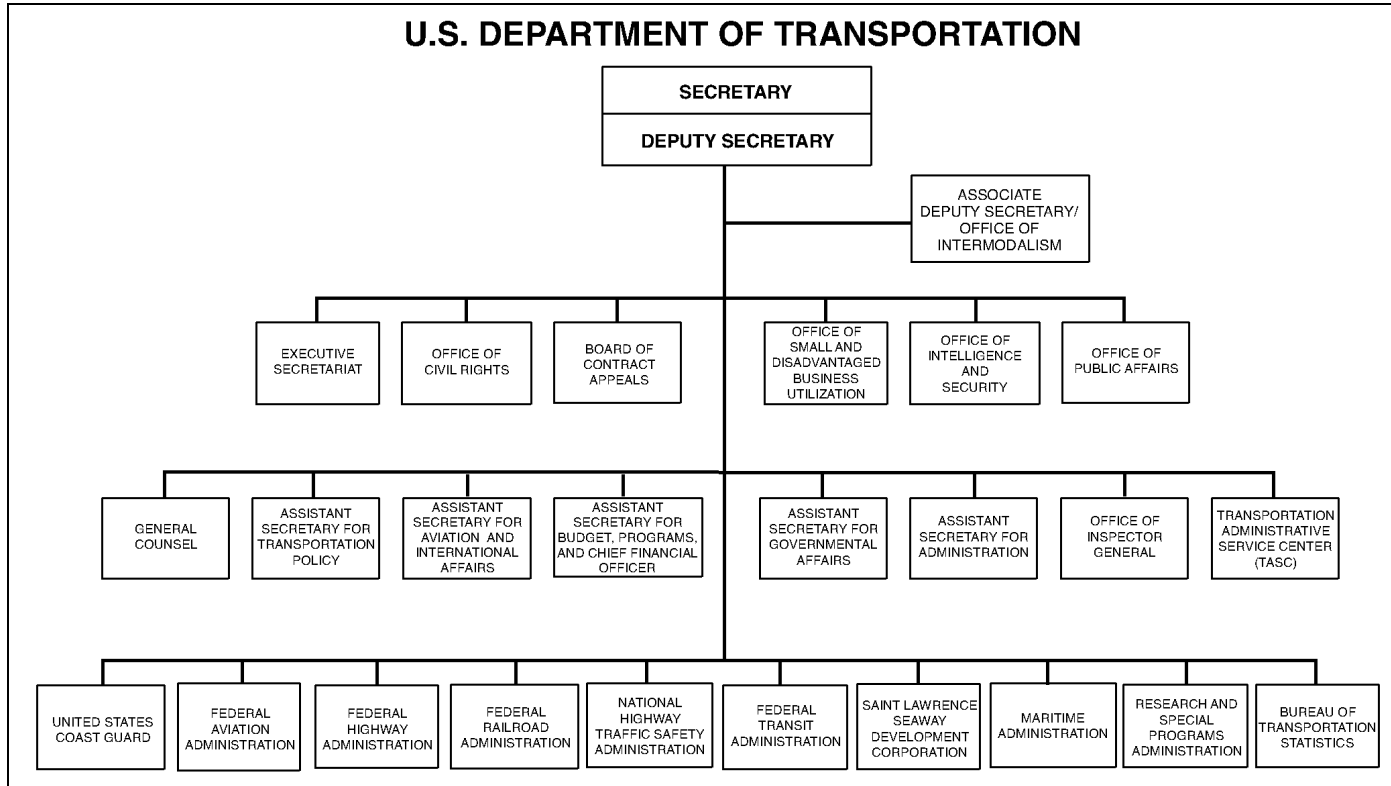


This document describes the financial and operating structure of the Department of Transportation.....

### **The Department of Transportation's (DOT) purpose:**

*“The national objectives of general welfare, economic growth and stability, and security of the United States require the development of transportation policies and programs that contribute to providing fast, safe, efficient, and convenient transportation at the lowest cost consistent with those and other national objectives, including the efficient use and conservation of the resources of the United States.”*

# Legal Entity Structure Chart



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## Business Organization Listing and Overview

### Business Organization Overview

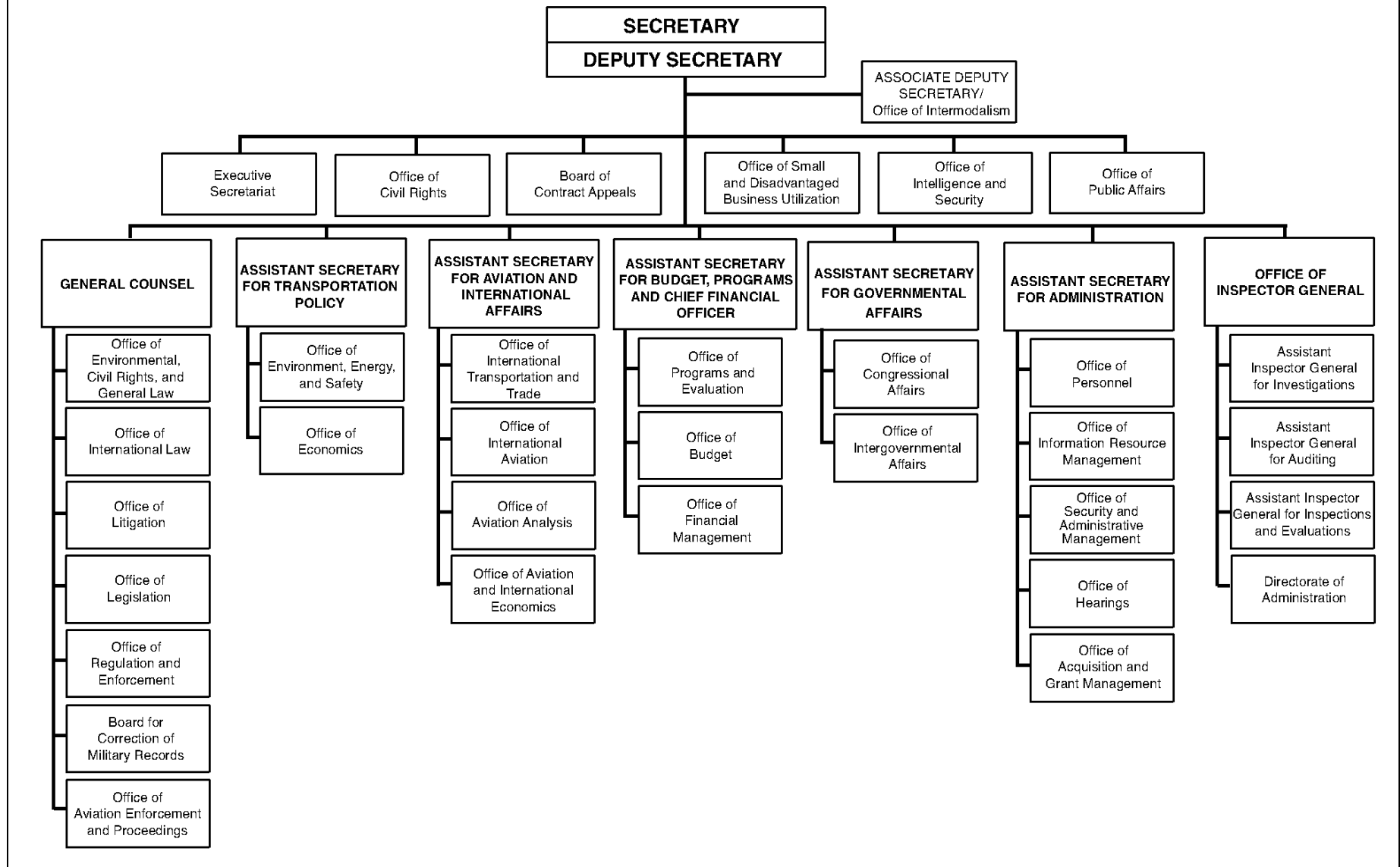
#### Office of the Secretary of Transportation

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The Mission of the Office of the Secretary of Transportation (OST) is to serve America by ensuring a fast, safe, efficient, accessible and convenient transportation system that meets our vital national interests and enhances the quality of life of the American people, today and into the future. The goals are:

1. Safety – Promote the public health and safety by working toward the elimination of transportation-related deaths, injuries, and property damage;
2. Mobility – Shape America’s future by ensuring a transportation system that is accessible, integrated, efficient, and offers flexibility of choices;
3. Economic Growth and Trade – Advance America’s economic growth and competitiveness domestically and internationally through efficient and flexible transportation;
4. Human and Natural Environment – Protect and enhance communities and the natural environment affected by transportation;
5. National Security – Advance the nation’s vital security interests in support of national strategies such as the National Security Strategy and National Drug Control Strategy by ensuring that the transportation system is secure and available for defense mobility and that our borders are safe from illegal intrusion.

# U.S. Department of Transportation OFFICE OF THE SECRETARY



## **Transportation Administrative Service Center**

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The Transportation Administrative Service Center (TASC) provides a variety of administrative services, products and training courses for Federal and State governments including: Acquisition services, career development, career transition, drug and alcohol testing services, health & fitness, human resources services, facilities service center, information services, intermodal data network services, internet services, learning and development, LAN services, OASIS services, space management, system/390 services, system development services, telecommunications, work life wellness, and year 2000 services.

## **United States Coast Guard**

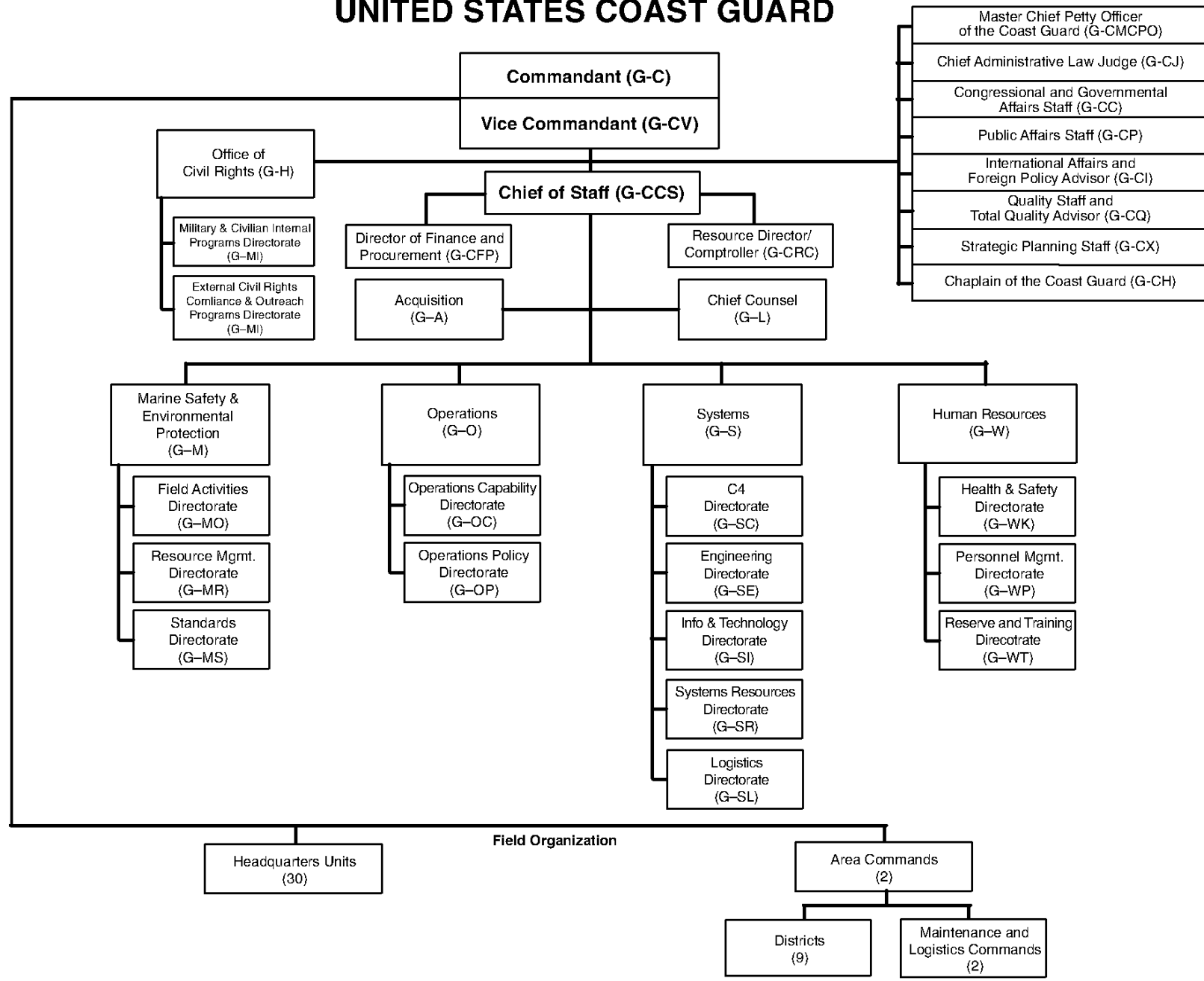
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The Coast Guard (USCG) is the primary federal agency with maritime authority for the United States. It is a complex organization of ships, aircraft, boats and shore stations. Decentralized, both administratively and operationally, USCG personnel respond to tasks in several mission/program areas. A vessel may carry out roles in law enforcement, search and rescue, marine environmental protection, maintenance of aids to navigation, and ice breaking. An aircraft may search for and assist distressed vessels, evacuate injured people, conduct pollution detection and surveillance flights, report sightings in conjunction with law enforcement, and carry out the mission of the International Ice Patrol.

The Service's multi-mission approach permits a relatively small organization to respond to public needs in a wide variety of maritime activities and to shift emphasis on short notice when the need arises. USCG maintains constant military capability and readiness. The Coast Guard's four main missions are Law Enforcement, Maritime Safety, Marine Environmental Protection and National Security.



# UNITED STATES COAST GUARD



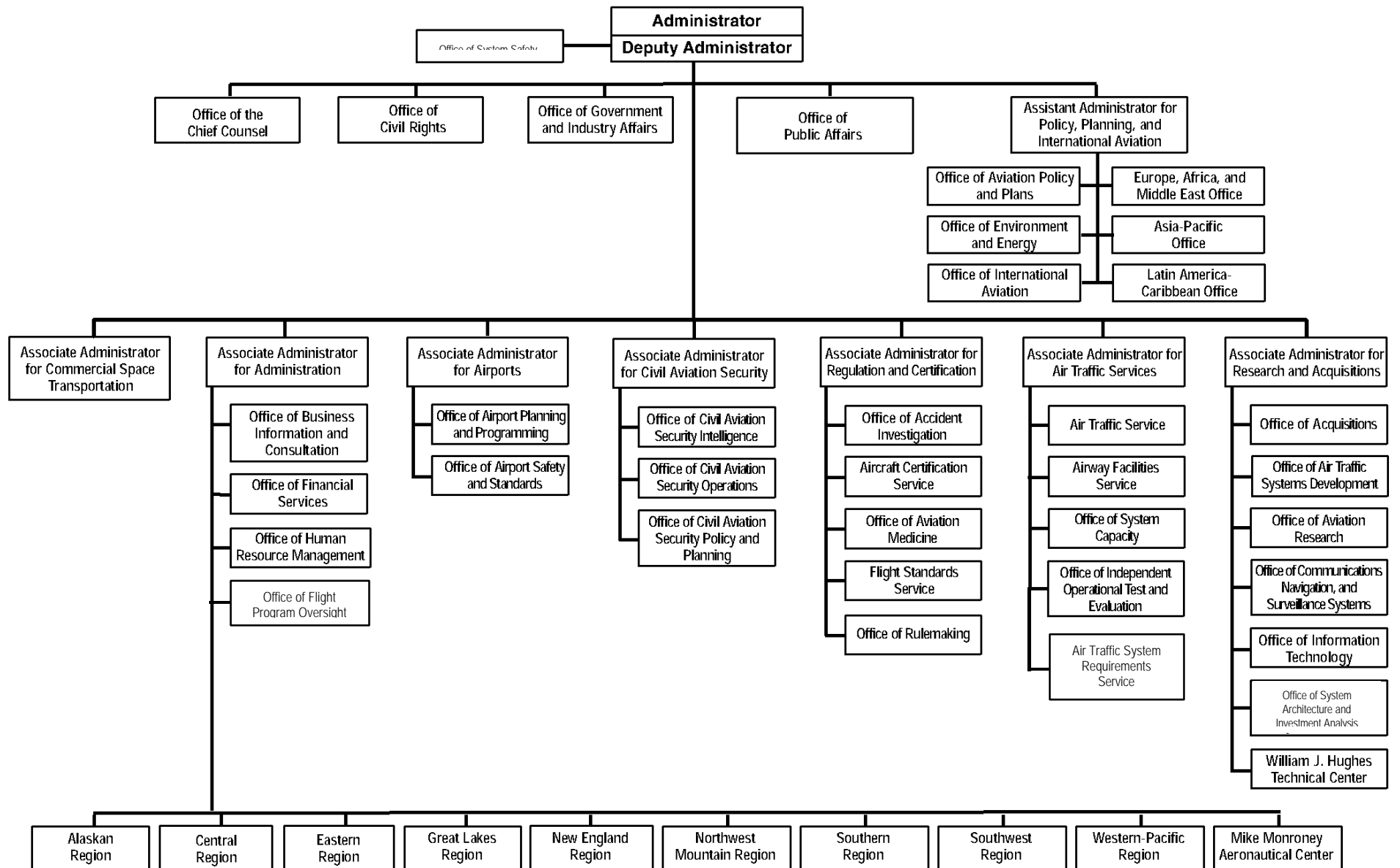
## **Federal Aviation Administration**

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The Federal Aviation Administration (FAA) is the element of the U.S. government with primary responsibility for the safety of civil aviation. The FAA was originally designated the Federal Aviation Agency when established by the Federal Aviation Act of 1958. The present name was adopted in 1967 when the FAA became a component of the Department of Transportation. The FAA's major functions include:

1. Regulating civil aviation to promote safety and fulfill the requirements of national defense;
2. Encouraging the development of air commerce and civil aeronautics;
3. Developing and operating a common system of air traffic control and navigation for both civil and military aircraft;
4. Research and development with respect to the National Airspace System and civil aeronautics;
5. Developing and implementing programs to control aircraft noise and other environmental effects of civil aviation; and
6. Regulating U.S. commercial space transportation.

# FEDERAL AVIATION ADMINISTRATION



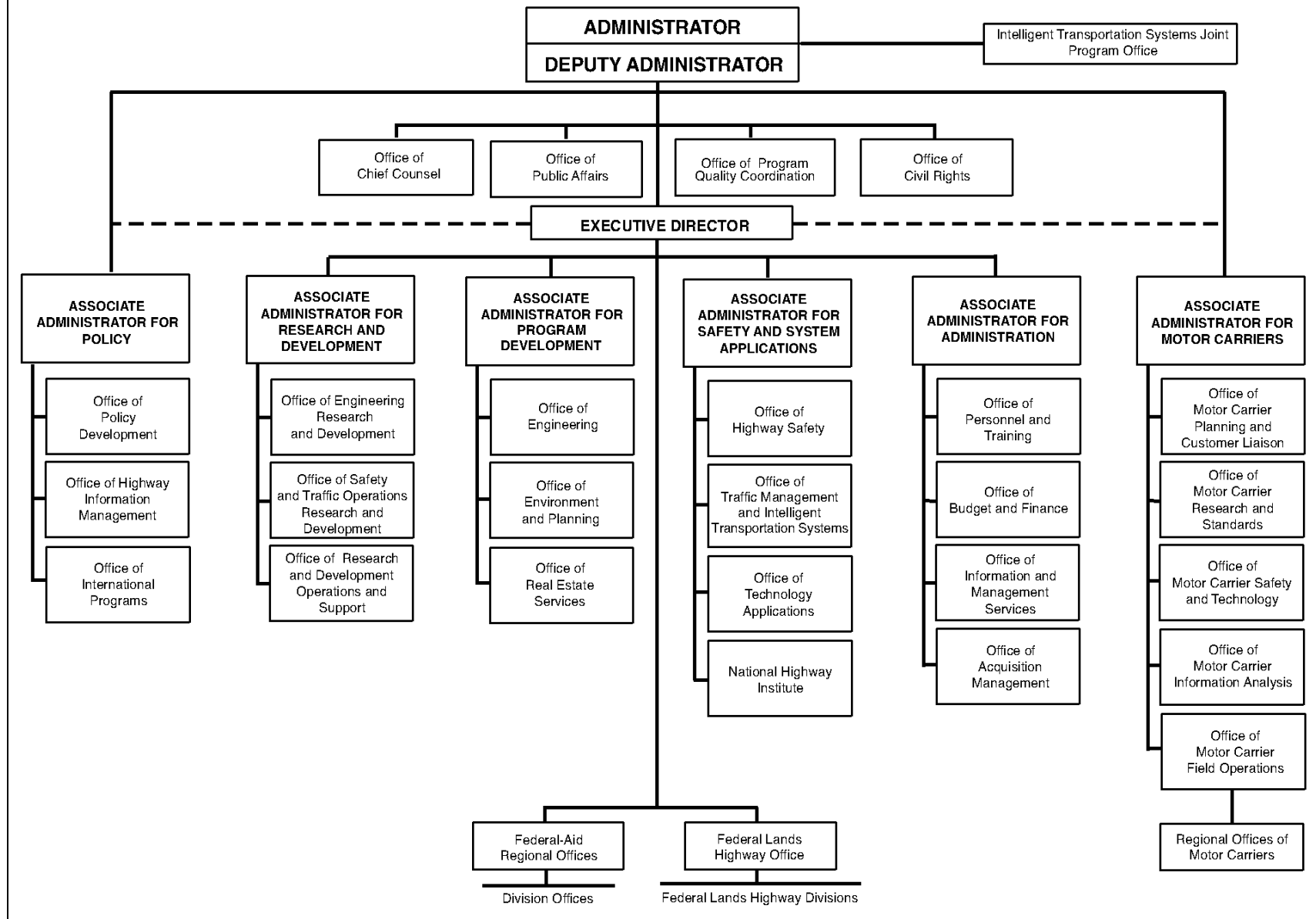
## **Federal Highway Administration**

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The mission of the Federal Highway Administration (FHWA) is to continually improve the quality of our Nation's highway system and its intermodal connections. The FHWA directly administers a number of highway transportation activities including standards development, research and technology, training, technical assistance, highway access to federally owned lands and Indian lands, and commercial vehicle safety enforcement. Further, FHWA has a significant role, working through partnerships, programs, policies, and allocating resources which facilitate the strategic development and maintenance of State and local transportation systems as effective and efficient elements of the national intermodal transportation system. This mission is performed through three main programs:

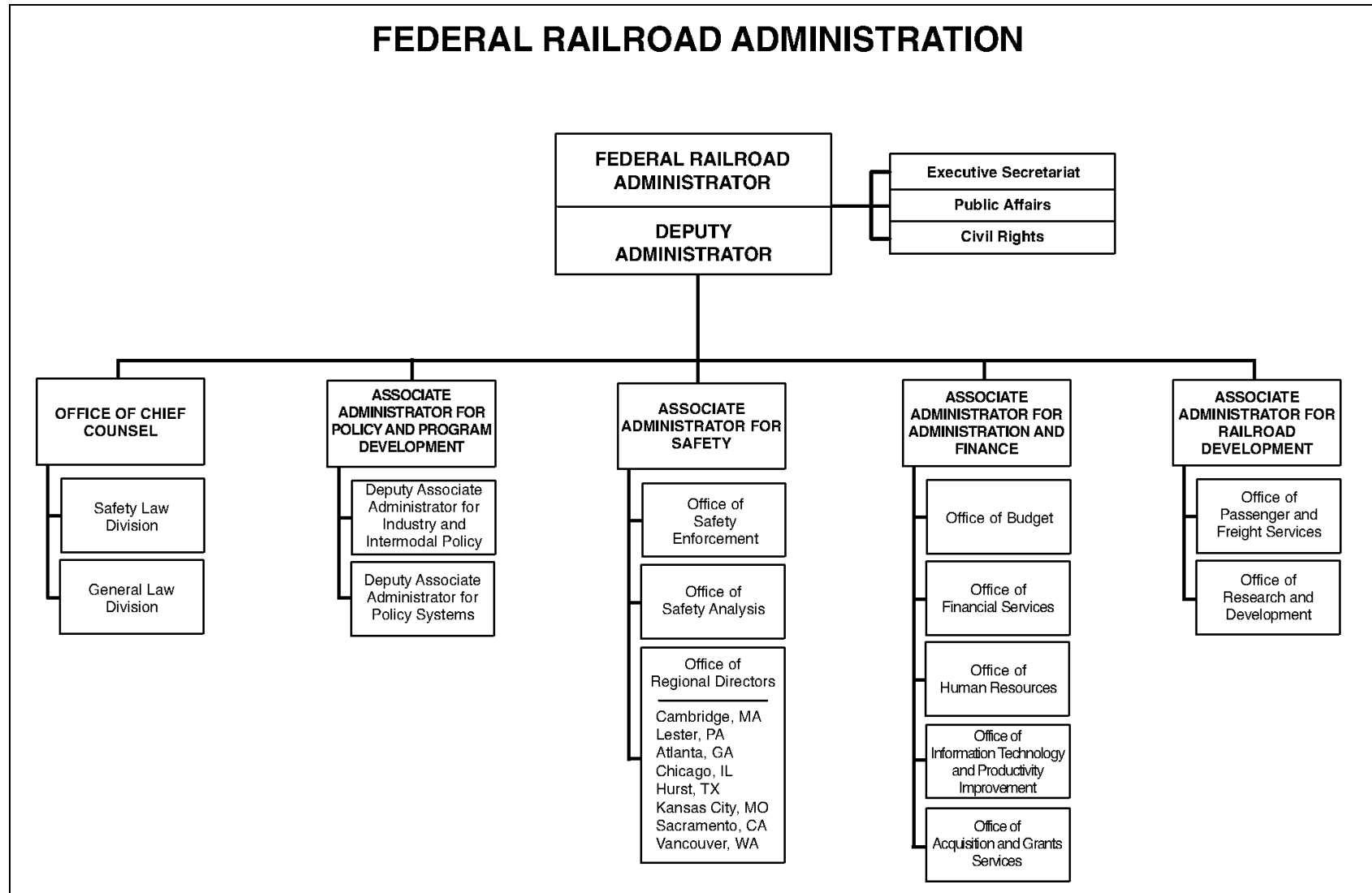
1. The Federal-aid Highway Program provides Federal financial and technical assistance to the States to plan, construct, and improve the National Highway System, urban and rural roads, and bridges.
2. The Motor Carrier Safety develops, communicates, and enforces performance-based regulations, for motor carriers, drivers, and vehicles to protect the traveling public on our Nation's highways.
3. The Federal Lands Highway Program provides access to and within National Forests, National Parks, Indian Lands and other public lands by administering the Federal Lands Highway, Emergency Relief and Defense Access Roads Programs.

# FEDERAL HIGHWAY ADMINISTRATION



## Federal Railroad Administration

The Federal Railroad Administration (FRA) promotes safe, environmentally sound, successful railroad transportation to meet current and future needs of all customers. By law, the Federal Railroad Administration has responsibility for ensuring railroad safety throughout the Nation. The United States railroad system consists of over 600 railroads with more than 250,000 employees, 200,000 miles of track, 1.2 million freight cars, and 20,000 locomotives. To monitor railroad compliance with federally mandated safety standards, FRA employs 400 inspectors operating out of 47 offices throughout the country.



## **National Highway Traffic Safety Administration**

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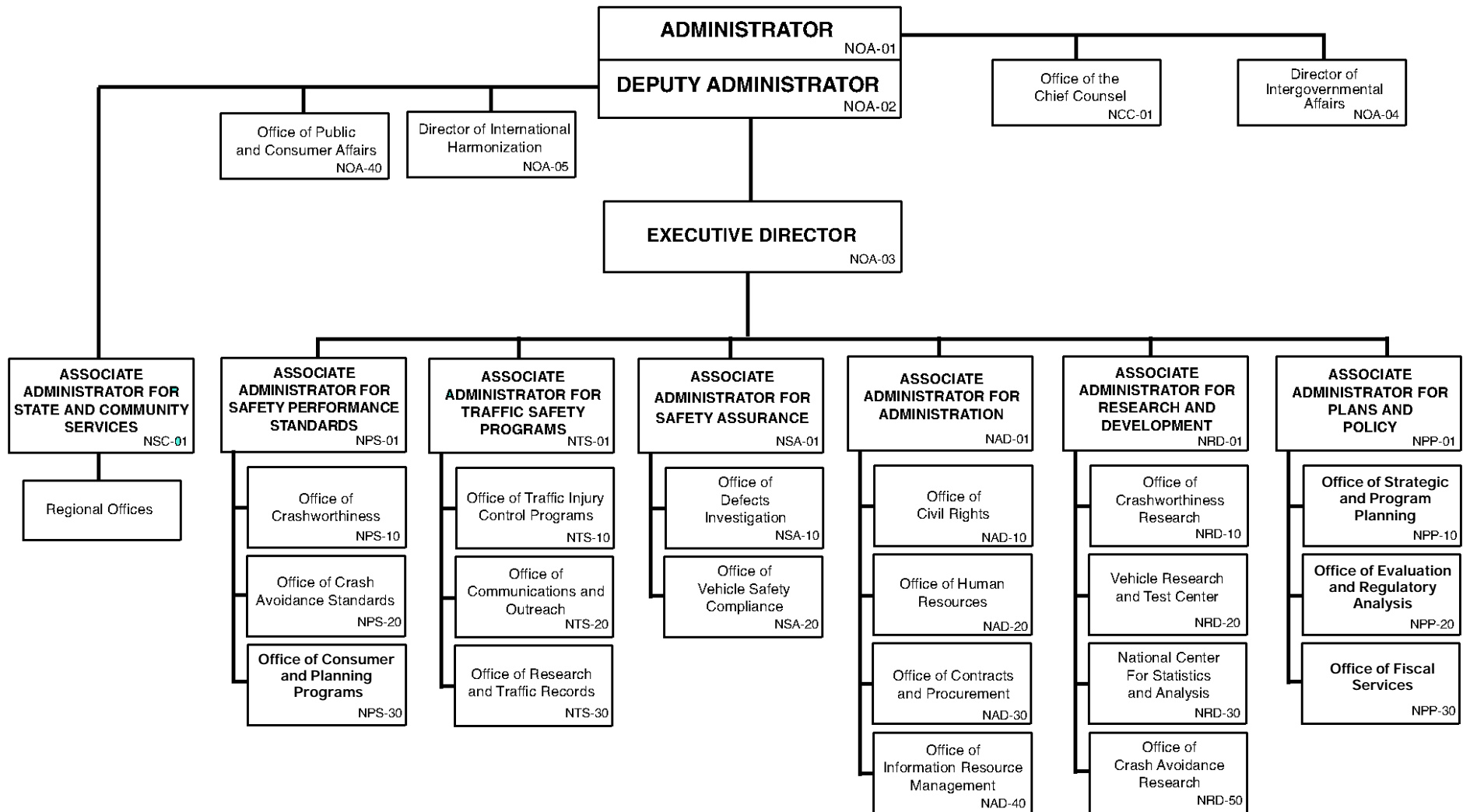
The National Highway Traffic Safety Administration (NHTSA), under the Department of Transportation, was established by the Highway Safety Act of 1970, as the successor to the National Highway Safety Bureau, to carry out safety programs under the National Traffic and Motor Vehicle Safety Act of 1966 and the Highway Safety Act of 1966. It also carries out consumer programs established by the Motor Vehicle Information and Cost Savings Act, enacted in 1972.

NHTSA is responsible for reducing deaths, injuries and economic losses resulting from motor vehicle crashes. This is accomplished by setting and enforcing safety performance standards for motor vehicle equipment, and through grants to state and local governments to enable them to conduct effective local highway safety programs.

NHTSA investigates safety defects in motor vehicles, sets and enforces fuel economy standards, helps states and local communities reduce the threat of drunk and aggressive drivers, promotes the use of safety belts, child safety seats and air bags, investigates odometer fraud, establishes and enforces vehicle anti-theft regulations and provides consumer information on motor vehicle safety topics.

NHTSA also conducts research on driver behavior and traffic safety , to develop the most efficient and effective means of bringing about safety improvements.

# NATIONAL HIGHWAY TRAFFIC SAFETY ADMINISTRATION





## **Federal Transit Administration**

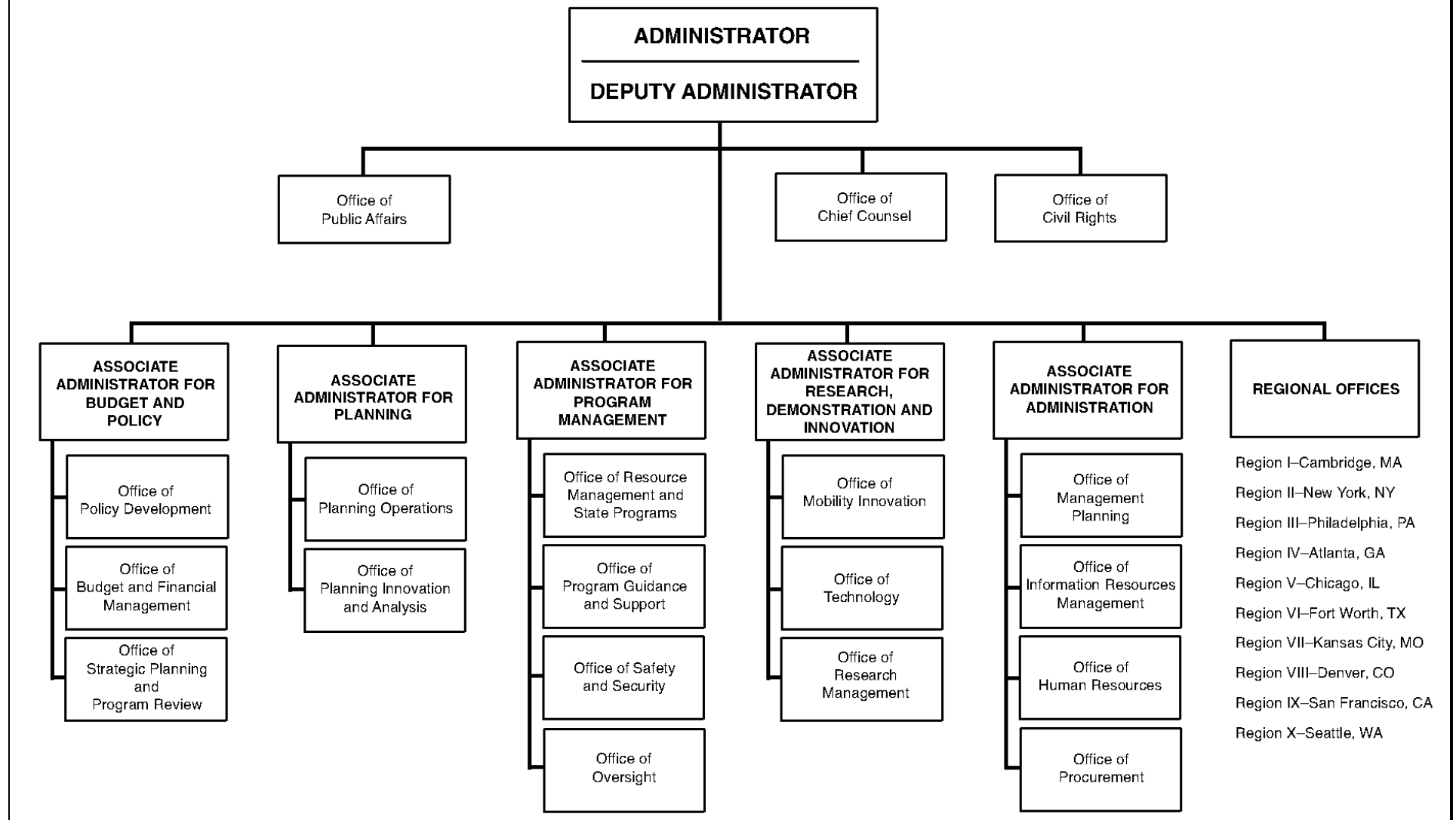
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The Federal Transit Administration's (FTA) mission is to ensure personal mobility and America's economic and community vitality by supporting high quality public transportation through leadership, technical assistance and financial resources.

To carry forward this mission, FTA has charted a vision: "... leading America with high-quality public transportation that ensures mobility and livable communities."

FTA, through its programs, is implementing this objective by working to help improve transit service delivery, increase transit service efficiency, and make transit an integral part of the lives of the communities it serves.

# FEDERAL TRANSIT ADMINISTRATION



### **Saint Lawrence Seaway Development Corporation**

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Since 1959, the St. Lawrence Seaway System has been a vital transportation link for moving goods between the heartland of North America and international markets. The St. Lawrence Seaway is jointly managed by the U.S. Saint Lawrence Seaway Development Corporation (SLSDC) and the Canadian St. Lawrence Seaway Authority.

The mission of the Corporation is to provide a safe, efficient, competitive and reliable waterway for the movement of goods to and from the Great Lakes region of North America and overseas markets. The Corporation encourages development of traffic through the Seaway System so as to contribute to the comprehensive economic and environmental development of the entire Great Lakes region.

Corporation headquarters staff offices are in Washington, D.C. Operations and support personnel are located at the two United States locks in Massena, New York.

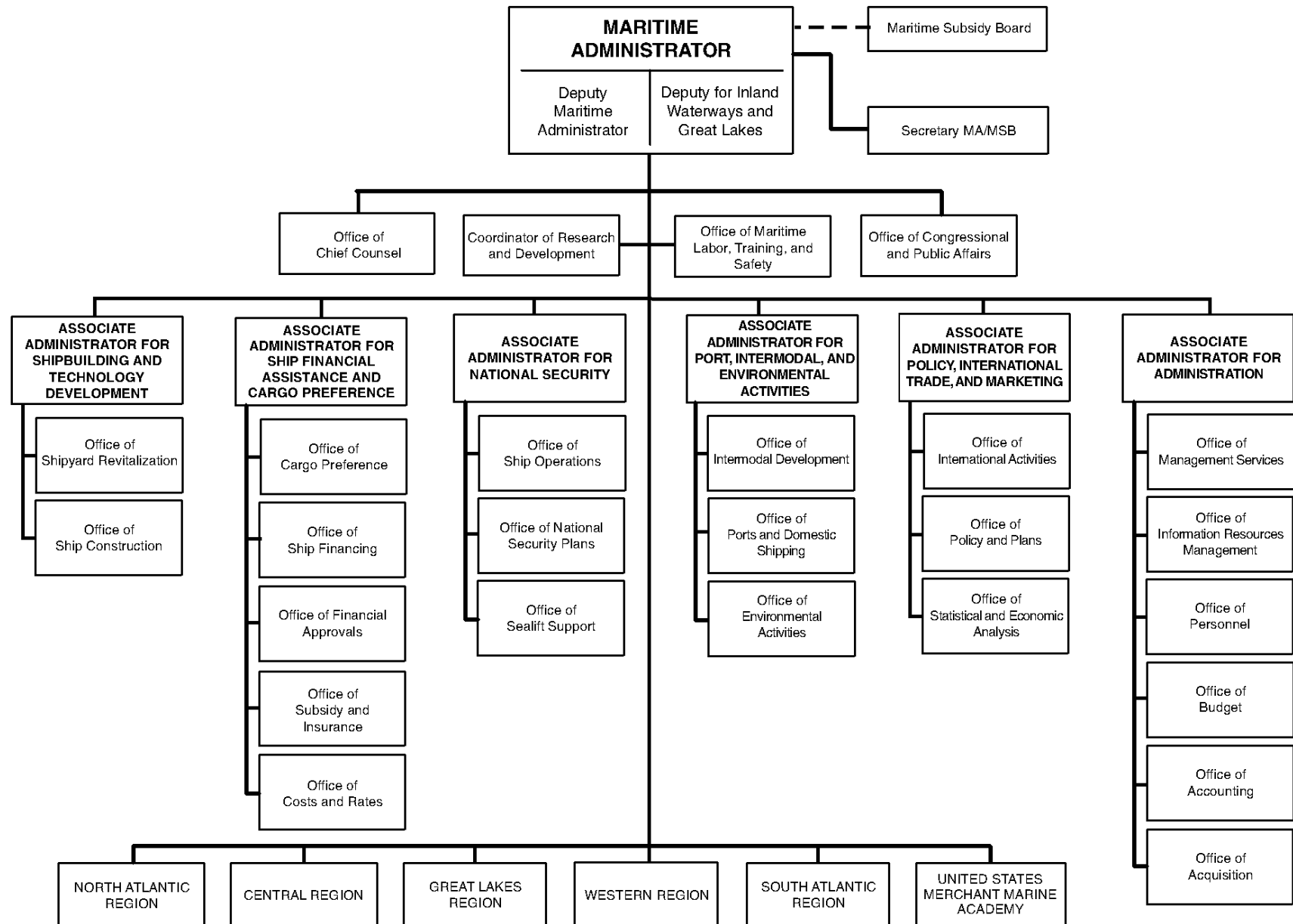
## **Maritime Administration**

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The overall mission of the Maritime Administration (MARAD) is to promote the development and maintenance of an adequate, well-balanced, United States merchant marine, sufficient to carry the Nation's domestic waterborne commerce and a substantial portion of its waterborne foreign commerce, and capable of serving as a naval and military auxiliary in time of war or national emergency.

MARAD also seeks to ensure that the United States enjoys adequate shipbuilding and repair service, efficient ports, effective intermodal water and land transportation systems, and reserve shipping capacity in time of national emergency.

# MARITIME ADMINISTRATION



## **Research and Special Programs Administration**

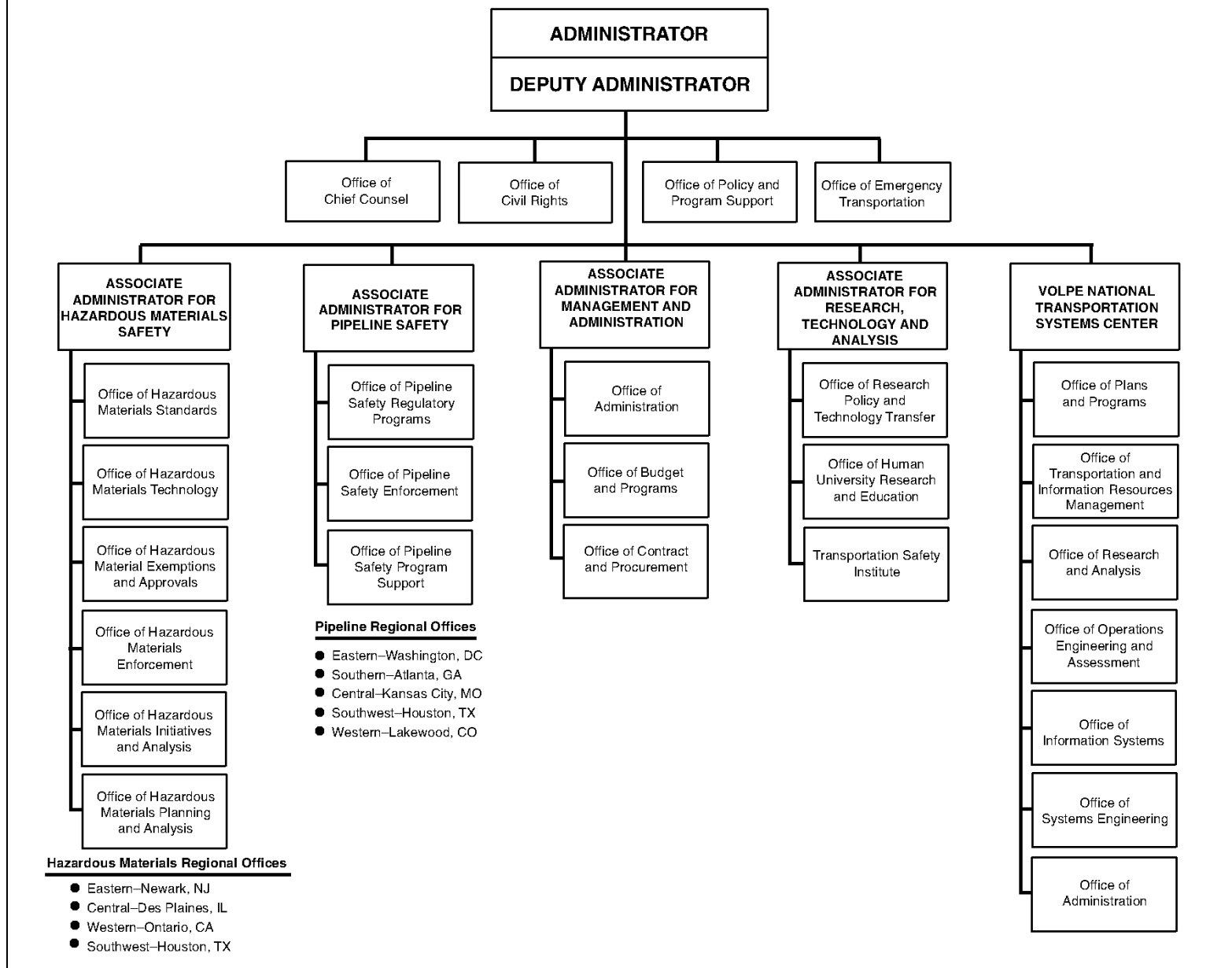
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The Research and Special Programs Administration (RSPA) provides services to America's dynamic multimodal transportation system. Its safety and research programs strengthen the nation's industrial competitiveness.

RSPA is at the forefront of transportation issues pertaining to safety, intermodalism, cost-effective regulation, compliance, training and research. Employees of RSPA work in varied cross-cutting areas of transportation, including:

1. Advancing intermodal transportation research and technology;
2. Conducting transportation research;
3. Protecting the public from the dangers inherent in the transportation of hazardous materials;
4. Assuring that the safety and environmental risks of pipeline transportation are addressed;
5. Providing civil sector preparedness for the Nation's transportation emergencies;
6. Delivering training and technical assistance in transportation safety

# RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION



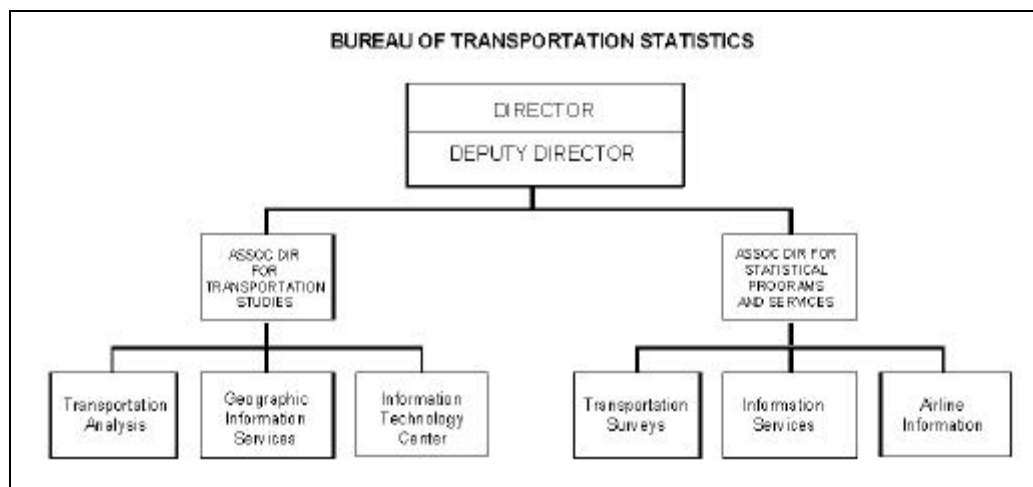
## Bureau of Transportation Statistics

The Bureau of Transportation Statistics (BTS) started operations in December 1992, and is required by the Intermodal Surface Transportation Efficiency Act (ISTEA) of 1991 to improve the knowledge base for public decision making, and to improve public awareness of the nation's transportation system and its consequences. BTS compiles, analyzes, and makes accessible information on the Nation's transportation systems; collects information on intermodal transportation and other areas as needed; and works to enhance the quality and effectiveness of government statistics.

BTS is a statistical agency, a mapping agency, and an organization for transportation analysis. No other federal agency combines these activities under one roof.

BTS is primarily an analytical organization, assembling and interpreting information on the extent, use, condition, performance, and consequences of the transportation system. The Bureau's analyses are summarized each January in the Transportation Statistics Annual Report, which also includes an assessment of data needs to improve our understanding of transportation. The Bureau is charged with ensuring the quality and effectiveness of transportation statistics. BTS tracks advances in data acquisition and information technology, and promotes the use of successful technologies to reduce costs and respondent burden while increasing data accuracy and timeliness. In close cooperation with the DOT's other operating administrations, BTS develops common definitions, sampling procedures, and other guidelines to improve statistical quality and comparability. The Bureau also represents the transportation community in the development of statistical policies and data collection programs by federal, state, local, and international agencies.

BTS is responsible for making transportation statistics accessible and understandable. To make statistics accessible, the BTS publishes statistical and other information through a wide variety of distribution channels in both printed and electronic forms. BTS also compiles and disseminates inventories of all transportation data resources available to the public.





## **Surface Transportation Board**

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The Surface Transportation Board (Board) was established on January 1, 1996 as a decisionally independent, bipartisan, adjudicatory body organizationally housed within the U.S. Department of Transportation (DOT), with jurisdiction over certain surface transportation economic regulatory matters.

The Board adjudicates disputes and regulates interstate surface transportation through various laws pertaining to the different modes of surface transportation. In this regard, the Board's general responsibilities include the oversight of firms engaged in transportation in interstate and in foreign commerce to the extent that it takes place within the United States, or between or among points in the contiguous United States and points in Alaska, Hawaii, or U.S. territories or possessions. Surface transportation matters under the Board's jurisdiction in general include railroad rate and service issues, rail restructuring transactions (mergers, line sales, line construction, and line abandonments) and labor matters related thereto; certain trucking company, moving van, and non-contiguous ocean shipping company rate matters; certain intercity passenger bus company structure, financial, and operational matters; and certain pipeline matters not regulated by the Federal Energy Regulatory Commission.

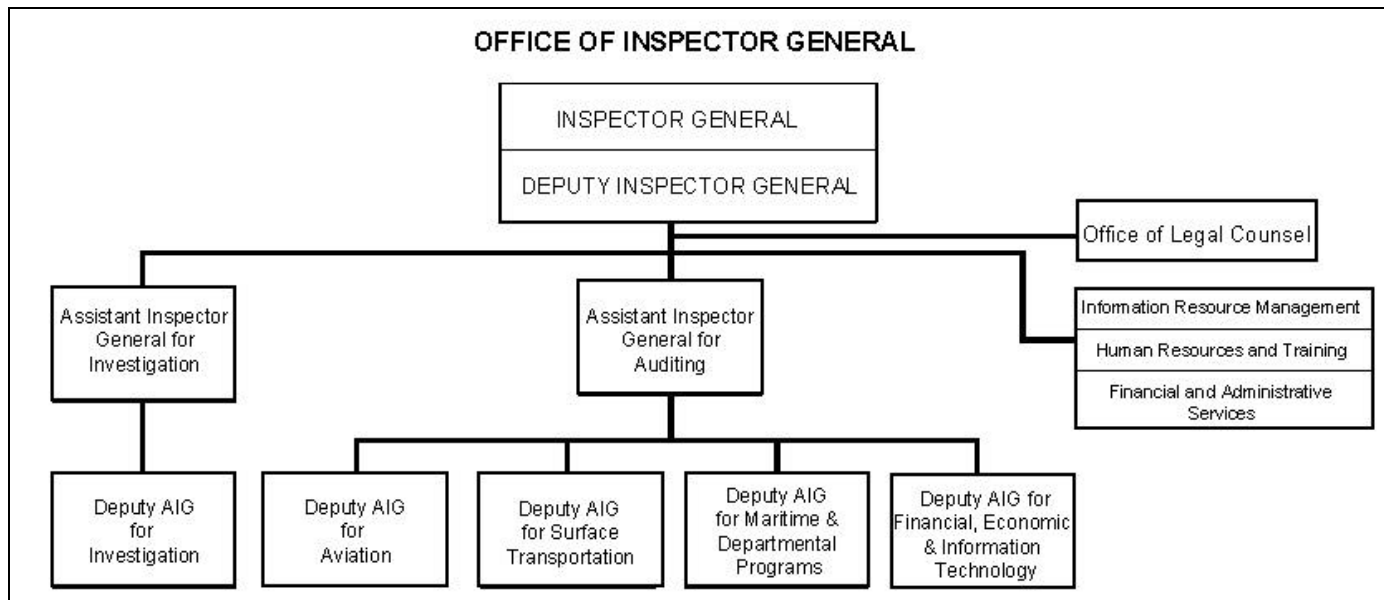
In the performance of its functions, the Board is charged with promoting, where appropriate, substantive and procedural regulatory reform in the economic regulation of surface transportation, and with providing an efficient and effective forum for the resolution of disputes.

## Office of the Inspector General

The Inspector General Act of 1978, as amended, established the Office of Inspector General (OIG) as an independent and objective unit within the Department, with a mission to:

1. Conduct and supervise independent and objective audits and investigations relating to the programs and operations of the Department;
2. promote economy, effectiveness, and efficiency within the Department;
3. prevent and detect fraud, waste, and abuse in Departmental programs and operations;
4. review and make recommendations regarding existing and proposed legislation and regulations relating to Departmental programs and operations; and
5. keep the Secretary of Transportation and Congress fully and currently informed of problems in Departmental programs and operations.

In carrying out these responsibilities, the Inspector General (IG) exercises executive direction over the functions of auditing, investigations, legal counsel, and administration.



## **Volpe National Transportation Systems Center**

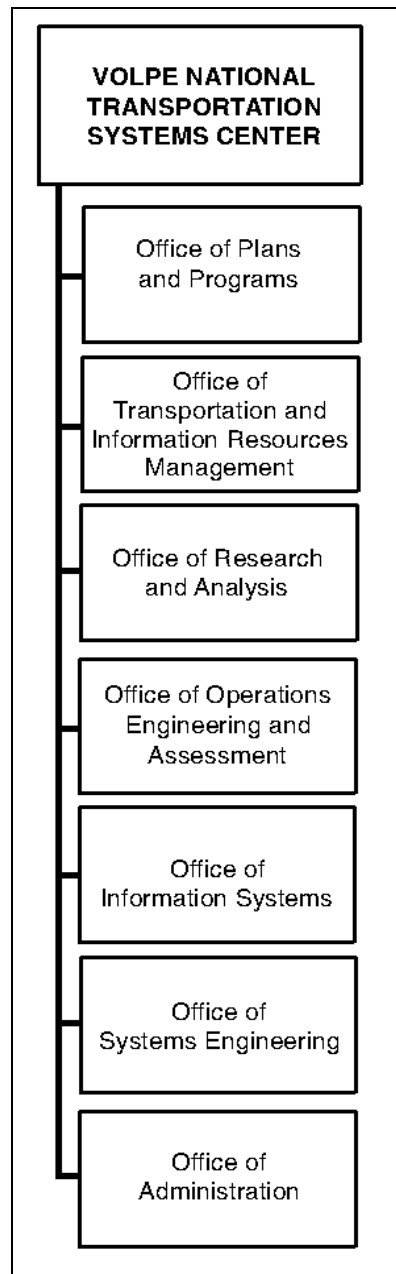
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The John A. Volpe National Transportation Systems Center (Volpe Center), located in Cambridge, Massachusetts, is an organization whose principal role is to serve as a national center of transportation and logistics expertise. As such, it provides research, analytic, management, and engineering support to the U.S. Department of Transportation (DOT), other Federal Agencies, state and local governments, and potentially to other public authorities, private organizations, and foreign countries.

Unlike other Federal organizations, the Volpe Center -- which is part of DOT's Research and Special Programs Administration (RSPA) -- is not funded directly in the Federal budget. Instead, it is market-driven by client agencies that fund the Center to address specific problems.

### **Volpe Center Mission**

1. Provide support for national transportation-related initiatives and acquisitions;
2. Anticipate and create awareness of national and international transportation trends and issues;
3. Serve as a bridge to industry, academia, and other Federal agencies;
4. Enhance the nation's capabilities to meet future transportation requirements.



## Business Organization Listing

Organization	Abbr or Code	Location	Organization Type	Primary Functions	Description/Comments
<a href="#">Office of the Secretary of Transportation</a>	OST	400 7 <sup>th</sup> Street, S.W. Washington, DC 20590 Accounting Operations at FTA 400 7 <sup>th</sup> Street, S.W. Washington, DC 20590	Regulatory/ Transportation	Responsible to ensure fast, safe, efficient, accessible and convenient transportation	Cross-served by FTA
<a href="#">Transportation Administrative Service Center</a>	TASC	400 7 <sup>th</sup> Street, S.W. Washington, DC 20590	Service/ Transportation	Provides a variety of administrative services, products and training courses for Federal and State governments	Cross-served by FTA
<a href="#">United States Coast Guard</a>	USCG	USCG Headquarters 2100 2 <sup>nd</sup> Street, S. W. Washington, DC 20593 Accounting Serviced by USCG Finance Center Chesapeake, VA	Regulatory/ Transportation	Primary federal agency with maritime authority for the United States	
<a href="#">Federal Aviation Administration</a>	FAA	FAA Headquarters 800 Independence Avenue, SW Washington, DC 20591	Regulatory/ Transportation	Responsible for the safety of civil aviation	Cross-services RSPA (all except Volpe), OIG (all), NHTSA (accounting operations). FAA grants cross-served by FTA
<a href="#">Federal Highway Administration</a>	FHWA	FHWA Headquarters 400 7 <sup>th</sup> Street SW Washington, DC 20590	Regulatory/ Transportation	Responsible for highway safety	
<a href="#">Federal Railroad Administration</a>	FRA	FRA Headquarters 1120 Vermont Ave., NW Washington, DC 20005 Mail: 400 7 <sup>th</sup> Street, SW Washington, DC 20590	Regulatory/ Transportation	Responsible for safe, environmentally sound railroad transportation	
<a href="#">National Highway Traffic Safety Administration</a>	NHTSA	NHTSA Headquarters 400 7 <sup>th</sup> Street, SW Washington, DC 20590 Accounting Operations at FAA Southern Region P.O. Box 20636 Atlanta, GA 30320	Regulatory/ Transportation	Responsible for safety and consumer highway programs	Accounting operations cross-served by FAA
<a href="#">Federal Transit Administration</a>	FTA	FTA Headquarters 400 7 <sup>th</sup> Street, SW Washington, DC 20590	Regulatory/ Transportation	Responsible for ensuring personal mobility by supporting high quality public transportation	Cross-services FAA Grants, BTS (all), OST (all), TASC (all), STB (all)

Organization	Abbr or Code	Location	Organization Type	Primary Functions	Description/Comments
<a href="#">Saint Lawrence Seaway Development Corporation</a>		400 7 <sup>th</sup> Street, SW Washington, DC 20590	Regulatory/ Transportation	Responsible for providing safe, efficient, competitive and reliable waterway	
<a href="#">Maritime Administration</a>	MARAD	MARAD Headquarters 400 7 <sup>th</sup> Street, SW Washington, DC 20590 Maritime Academy Kings Point, NY 11024	Regulatory/ Transportation	Responsible for development and maintenance of an adequate U.S. merchant marine	
<a href="#">Research and Special Programs Administration</a>	RSPA	RSPA Headquarters 400 7 <sup>th</sup> Street, SW Washington, DC 20590 Accounting Operations at FAA MMAC 6500 S. MacArthur Oklahoma City, OK 73159	Regulatory/ Transportation	Provides vital services to America's dynamic multimodal transportation system	Cross-serviced by FAA
<a href="#">Bureau of Transportation Statistics</a>	BTS	400 7 <sup>th</sup> Street, SW Washington, DC 20590	Information/ Transportation	Provide statistical information for Transportation	Cross-serviced by FTA
<a href="#">Surface Transportation Board</a>	STB	1925 K St., NW Washington, DC 20423	Regulatory/ Transportation	Adjudicates, disputes, and regulates interstate surface transportation through various laws pertaining to the different modes of surface transportation	Cross-serviced by FTA
<a href="#">Office of the Inspector General</a>	OIG	400 7 <sup>th</sup> Street, S.W. Washington, DC 20590 Accounting Operations at FAA MMAC 6500 S. MacArthur Oklahoma City, OK 73159	Audit	Responsible to prevent and detect fraud, waste, and abuse	Cross-serviced by FAA
<a href="#">Volpe National Transportation Systems Center</a>	VOLPE	Kendall Square Cambridge, MA 02142	Service/ Transportation	Provides research, management, and engineering support	

## Financial Operating Environment

Organization	Organization Type	Function	Functional Currency	Chart of Accounts	Accounting Calendar
Office of the Secretary of Transportation	Regulatory/Transportation	Responsible to ensure fast, safe, efficient, accessible and convenient transportation	USD	USGL	Federal Fiscal Year
Transportation Administrative Service Center	Service/Transportation	Provides a variety of administrative services, products and training courses for Federal and State governments	USD	USGL	Federal Fiscal Year
United States Coast Guard	Regulatory/Transportation	Primary federal agency with maritime authority for the United States	USD	USGL	Federal Fiscal Year
Federal Aviation Administration	Regulatory/Transportation	Responsible for the safety of civil aviation	USD	USGL	Federal Fiscal Year
Federal Highway Administration	Regulatory/Transportation	Responsible for highway safety	USD	USGL	Federal Fiscal Year
Federal Railroad Administration	Regulatory/Transportation	Responsible for safe, environmentally sound railroad transportation	USD	USGL	Federal Fiscal Year
National Highway Traffic Safety Administration	Regulatory/Transportation	Responsible for safety and consumer highway programs	USD	USGL	Federal Fiscal Year
Federal Transit Administration	Regulatory/Transportation	Responsible for ensuring personal mobility by supporting high quality public transportation	USD	USGL	Federal Fiscal Year
Saint Lawrence Seaway Development Corporation	Regulatory/Transportation	Responsible for providing safe, efficient, competitive and reliable waterway	USD	USGL	Federal Fiscal Year
Maritime Administration	Regulatory/Transportation	Responsible for development and maintenance of an adequate U.S. merchant marine	USD	USGL	Federal Fiscal Year
Research and Special Programs Administration	Regulatory/Transportation	Provides vital services to America's dynamic multimodal transportation system	USD	USGL	Federal Fiscal Year
Bureau of Transportation Statistics	Information/Transportation	Provide statistical	USD	USGL	Federal Fiscal

Organization	Organization Type	Function	Functional Currency	Chart of Accounts	Accounting Calendar
		information for Transportation			Year
<a href="#">Surface Transportation Board</a>	Regulatory/Transportation	Adjudicates, disputes, and regulates interstate surface transportation through various laws pertaining to the different modes of surface transportation	USD	USGL	Federal Fiscal Year
<a href="#">Office of the Inspector General</a>	Audit	Responsible to prevent and detect fraud, waste, and abuse	USD	USGL	Federal Fiscal Year
<a href="#">Volpe National Transportation Systems Center</a>	Service/Transportation	Provides research, management, and engineering support	USD	USGL	Federal Fiscal Year



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## **Open and Closed Issues**

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### **Open Issues**

If there are any organizational issues pending, comment here.

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### **Closed Issues**